

16711 U.S. PTO  
012204

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(B))

|                        |  |
|------------------------|--|
| Docket Number          | VT-2406  |
| First Inventor         | George Adamson   |
| Title                  | Secondary Battery Electrode<br>Active Materials And Methods... |
| Express Mail Label No. | EU785350508US  |

## APPLICATION ELEMENTS

Commissioner for Patents  
Mail Stop Patent Application  
ADDRESS TO: P.O. Box 1450  
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant Claims Small Entity Status  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **44**]  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets
5. ☒ Oath or Declaration [Total Pages **1**]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(D)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Sequence Submission  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies
- ACCOMPANYING APPLICATION PARTS**
9. ☐ Assignment Papers (cover sheet and documents)
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent
17. ☒ Other: Express Mail Cert., Return Postcard

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner:

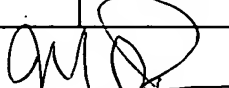
Group Art Unit:

For CONTINUATION OR DIVISIONALAPPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label **33204** or ☐ Correspondence address below

PATENT &amp; TRADEMARK OFFICE

|                   |   |                                   |                  |
|-------------------|---|-----------------------------------|------------------|
| Name              |   |                                   |                  |
| Address           |   |                                   |                  |
| City/Country      |   |                                   |                  |
| Name (Print/Type) | Michael D. Ross   | Registration No. (Attorney/Agent) | 45,057           |
| Signature         |  | Date                              | January 22, 2004 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

17548 U.S. PTO  
10/763890

012204

16711 U.S. PTO  
012204

PTO/SB/17 (10-03)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2003

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$1134

|                      |                  |
|----------------------|------------------|
| Application Number   | TBD              |
| Filing Date          | January 22, 2004 |
| First Named Inventor | George Adamson   |
| Examiner Name        | TBD              |
| Group Art Unit       | TBD              |
| Attorney Docket No.  | VT-2406          |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money ☐ Other None Order

☒ Deposit Account

Deposit Account Number 220100  
Deposit Account Name Valence Technology, Inc.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASE FILING FEE

| Large Entity  | Small Entity  | Fee Description        | Fee Paid |
|---------------|---------------|------------------------|----------|
| Fee Code (\$) | Fee Code (\$) |                        |          |
| 1001 770      | 2001 385      | Utility filing fee     | 770      |
| 1002 340      | 2002 170      | Design filing fee      |          |
| 1003 530      | 2003 265      | Plant filing fee       |          |
| 1004 770      | 2004 385      | Reissue filing fee     |          |
| 1005 160      | 2005 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$) 770

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                        | Extra Claims | Fee    | Fee Paid |
|------------------------|--------------|--------|----------|
| Total Claims 83 - 20 = | 63           | x 18 = | 1134     |
| Ind. Claims 2 - 3 =    | 1            | x 86 = | 0        |
| Multiple Dependent     |              |        |          |

| Large Entity  | Small Entity  | Fee Description   |
|---------------|---------------|---|
| Fee Code (\$) | Fee Code (\$) |   |
| 1202 18       | 2202 9        | Claims in excess of 20                                    |
| 1201 86       | 2201 43       | Independent claims in excess of                           |
| 1203 290      | 2203 145      | Multiple dependent claim, if not paid                     |
| 1204 86       | 2204 43       | **Reissue independent claims over original patent         |
| 1205 18       | 2205 9        | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 1134

\*\* or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity  | Small Entity  | Fee Description  |
|---------------|---------------|--|
| Fee Code (\$) | Fee Code (\$) |  |
| 1051 130      | 2051 65       | Surcharge - late filing fee or oath  |
| 1052 50       | 2052 25       | Surcharge - late provisional filing fee or cover sheet                     |
| 1053 130      | 1053 130      | Non-English specification  |
| 1812 2,520    | 1812 2,250    | For filing a request for <i>ex parte</i> reexamination                     |
| 1804 920*     | 1804 920*     | Requesting publication of SIR prior to Examiner action                     |
| 1805 1,840*   | 1805 1,840*   | Requesting publication of SIR after Examiner action                        |
| 1251 110      | 2251 55       | Extension for reply within first month                                     |
| 1252 420      | 2252 210      | Extension for reply within second month                                    |
| 1253 950      | 2253 475      | Extension for reply within third month                                     |
| 1254 2,010    | 2254 1,005    | Extension for reply within fourth month                                    |
| 1255 1,970    | 2255 985      | Extension for reply within fifth month                                     |
| 1401 330      | 2401 165      | Notice of Appeal   |
| 1402 330      | 2402 165      | Filing a brief in support of an appeal                                     |
| 1403 290      | 2403 145      | Request for oral hearing   |
| 1451 1,510    | 1451 1,510    | Petition to institute a public use proceeding                              |
| 1452 110      | 2452 55       | Petition to revive - unavoidable   |
| 1453 1,330    | 2453 665      | Petition to revive - unintentional   |
| 1501 1,330    | 2501 665      | Utility issue fee (or reissue)   |
| 1502 480      | 2502 240      | Design issue fee   |
| 1503 640      | 2503 320      | Plant issue fee  |
| 1460 130      | 1460 130      | Petitions to the Commissioner  |
| 1807 50       | 1807 50       | Processing fee under 37 CFR 1.17(q)  |
| 1806 180      | 1806 180      | Submission of Information Disclosure Stmt                                  |
| 8021 40       | 8021 40       | Recording each patent assignment per property (times number of properties) |
| 1809 770      | 2809 385      | Filing a submission after final rejection (37 CFR § 1.129(a))              |
| 1810 770      | 2810 385      | For each additional invention to be examined (37 CFR § 1.129(b))           |
| 1801 770      | 2801 385      | Request for Continued Examination (RCE)                                    |
| 1802 900      | 1802 900      | Request for expedited examination of a design application                  |

Other fee (specify) ☐

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

Name (Print/Type)

Michael D. Ross

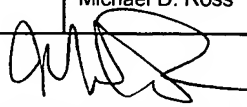
Registration No.  
(Attorney/Agent)

45,057

Telephone

702-558-1000

Signature



Date

January 22, 2003

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Adamson et al. Attorney Docket No.: VT-2406  
Serial No. : TBD Art Unit: Unknown  
Filed : January 22, 2004 Examiner: Unknown  
For : Secondary Battery Electrode Active Materials And Methods For Making The Same

Commissioner for Patents  
M/S Patent Applications  
P.O. Box 1450  
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EU785350508US

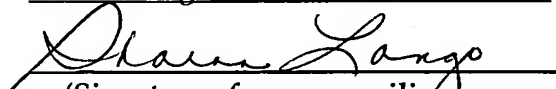
Date of Deposit January 22, 2004

I hereby certify that the following *attached*

1. Utility Patent Application Transmittal
2. Fee Transmittal
3. Specification (30 pgs); Claims (13 pgs); Abstract (1 pg)
4. Declaration (37 CFR 1.63) Using An Application Sheet and Power of Attorney
5. Application Data Sheet (3 pgs.)
4. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, M/S Patent Applications, P.O. Box 1450, Alexandria, VA 22313.

Sharon Lango

  
(Signature of person mailing paper or fee)